

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of

Applicants : Nippa et al.
Serial No. : 10/719,892
Filed : November 21, 2003
Title : EMBEDDED ELECTRODE INTEGRATED OPTICAL DEVICES AND
METHODS OF FABRICATION
Docket : OPI 0004 PA/41004.11
Art Unit : 2874

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

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James E. Beyer

Reg. No. 39,564

Sir:

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UNDER 37 CFR §§ 1.56, 1.97, AND 1.98

Applicants submit herewith patents, publications, and other information of which they are aware, which they believe may be material, as defined in 37 CFR §1.56(b), to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR §1.56(a). While the information referred to in this Information Disclosure Statement may be material pursuant to 37 CFR §1.56(b), the filing of this Information Disclosure Statement is not intended to, pursuant to 37 CFR §1.97(h), constitute an admission that any patent, publication, or other information referred to is, or is considered to be, material to the patentability of this invention. No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§ 102 and 103, and Applicant(s) reserves the right, pursuant to 37 C.F.R. § 1.131 or otherwise, to establish otherwise. Further, pursuant to 37 CFR §1.97(g), the filing of this Statement should not be construed as a statement that a search has been made or that no other material information exists.


Serial No. 10/719,892
Docket No. OPI 0004 PA/41004.11

This Information Disclosure Statement is being filed within the period set forth in 37 CFR §1.97(b) because it is believed to be filed before the mailing date of a first office action on the merits.

The Office has waived the requirement pursuant to 37 CFR 1.98 (a)(2)(i) for submitting a copy of each cited U.S. patent and each U.S. patent application publication for all U.S. national patent applications filed after June 30, 2003 and for all international applications that have entered the national stage under 35 USC § 371 after June 30, 2003. Therefore, no copies of each cited U.S. patent and each cited U.S. patent application publication are enclosed, but the cited U.S. patents and the cited U.S. patent application publications are listed on PTO/SB/08A.

Respectfully submitted,
DINSMORE & SHOHL LLP

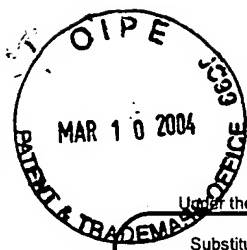
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PTO/SB/08A (08-03)

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of

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Application Number	10/719,892
Filing Date	November 21, 2003
First Named Inventor	David W. Nippa
Art Unit	2874
Examiner Name	
Attorney Docket Number	OPI 0004 PA/41004.11

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US- 3,558,213	01/26/1971	Marcatili	
		US- 3,589,794	06/29/1971	Marcatili	
		US- 3,850,503	11/26/1974	Riseberg et al.	
		US- 4,070,094	01/24/1978	Martin	
		US- 4,730,171	03/08/1988	So et al.	
		US- 4,737,014	04/12/1988	Green	
		US- 4,884,858	12/05/1989	Ushikubo et al.	
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		US- 5,533,151	07/02/1996	Leonard	
		US- 5,546,480	08/13/1996	Leonard	
		US- 5,581,642	12/03/1996	Deacon et al.	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ *Number ⁴ *Kind Code ⁵ (if known)	MM-DD-YYYY			
		EP 0335672 A	10/04/1989	Nippon Electric Co.		
		GB 2236402 A	04/03/1991	Marconi GFC Ltd.		
		EP 0513919 A	11/19/1992	Nederland PTT		
		JP 05 323243 (Abstract)	12/07/1993	Nippon		
		JP 09 090299 (Abstract)	04/04/1997	Nippon		
		EP 0898348 A	02/24/1999	Nippon Electric Co.		

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Application Number	10/719,892
Filing Date	November 21, 2003
First Named Inventor	David W. Nippa
Art Unit	2874
Examiner Name	
Attorney Docket Number	OPI 0004 PA/41004.11

Sheet 2 of 5**U. S. PATENT DOCUMENTS**

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		Number-Kind Code ² (if known)			
		US- 5,659,010	08/19/1997	Sotoyama et al.	
		US- 5,703,710	12/30/1997	Brinkman et al.	
		US- 5,724,461	03/03/1998	Bruno et al.	
		US- 5,732,177	03/24/1998	Deacon et al.	
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		US- 6,022,671	02/08/2000	Binkley et al.	
		US- 6,028,973	02/22/2000	Schienenle et al.	
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		US- 6,137,619	10/24/2000	Chen et al.	

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		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
		WO 03/010592 A2	02/06/2003	Battelle Memorial		
		WO 03/012532 A2	02/13/2003	Digilens, Inc.		

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		US- 6,144,779	11/07/2000	Binkley et al.	
		US- 6,167,169	12/26/2000	Brinkman et al.	
		US- 6,195,479	02/27/2001	Pan	
		US- 6,243,517	06/05/2001	Deacon	
		US- 6,320,990	11/20/2001	Sun	
		US- 6,361,717	03/26/2002	Dalton et al.	
		US- 2002/0094150 A1	07/18/2002	Lim et al.	
		US- 6,507,681	01/14/2003	Kowalczyk et al.	
		US- 6,558,585	05/06/2003	Zhang et al.	
		US- 6,643,419	11/04/2003	Chang et al.	
		US- 6,311,004	10/30/2001	Kennedy et al.	
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NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		SCHILAKK, Modulation Behaviour of Integrated Optical Couplers, Journal of Optical Communications, 1984, 122-131	
		MARCATILI, Dielectric Rectangular Waveguide and Directional Coupler for Integrated Optics, Bell Syst. tech. J., Vol 48, pp. 22-111, September 1969	
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		KAPLAN et al., Layout For Polarization Insensitive Modulation In LiNbO3 Waveguides; IEEE Journal of Selected Topics In Quantum Electronics; 01/2000; pgs. 83-87; Vol 6 No. 1; IEEE; Israel	
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		SAIDA et al., Planer Lightwave Circuit Polarization-Mode Dispersion Compensator; IEEE Photonics Technology Letters, pp. 507-509; Vol. 14, No. 4; April 2002	
		LIAO et al.; Design and Fabrication of Wide-Angle TE-TM Mode Splitter in Lithium Niobate; IEEE Journal of Selected Topics in Quantum Electronics; pp. 88-93; Vol. 6, No. 1.; January/February 2000	
		HU et al.; Tunable Mach-Zehnder Polarization Splitter Using Height-Tapered Y-Branches; 1997; pp. 773-775	
		Interferometric-Type Polarisation Splitter On Z-Propagating LiNbO3; Ti; Electronics Letters; 1990	
		OH HYUN-HO et al.; Polarization-Independent Phase Modulator Using Electro-optic Polymer; Electronics Letters, IEE Stevenage, GB, Vol. 36, No. 11; 25 May 2000; pp. 969-970	

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		YOSHITO SHUTO et al.; Optical Intensity Modulators Using Diazo-Dye Substituted Polymer Channel Waveguides; IEEE Journal of Quantum Electronics, IEEE Inc., Vol. 31, No. 8, 1 August 1995, pps. 1451-1460	
		MUTO S. et al.; Slab Waveguide-Type Optical Modulators Using Optically Active and Nonlinear Polymers; Molecular Crystals and Liquid Crystals Science and Technology Section B; Nonlinear Optics; Vol. 22, No. 1-4, 1999, pps. 449-452	
		PARKER et al.; Multiple-Order PMD Compensation Using a Single Activity Chirped AWG; Proceedings 27th European Conference on Optical Communication; Amsterdam; Netherlands; 30 September - 4 October 2001; Vol. 3, 30 September 2001; pps. 424-425	
		HOROWITZ et al.; Towards Better Control of Sol-Gel Film Processing For Optical Device Applications; Journal of Nonlinear Optical Physics and Materials; 1997; Vol. 6, No. 1; pps. 1-18; World Scientific Publishing Company	

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